



DA

Docket No.: 111472.120US1

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Peter J. McCARTHY et al.

Serial No. 09/809,429

: APPLICATIONS BRANCH

Filed: March 16, 2001

For: SYSTEM, METHOD AND MEDIUM FOR TRADING FIXED INCOME SECURITIES

RESPONSE TO NOTICE  
OF MISSING PARTS OF APPLICATION

Honorable Commissioner for Patents  
Washington D.C. 20231

Sir:

In response to the Notice of Missing Parts of Application dated May 17, 2001, submitted herewith are the following documents for filing in the above-referenced application:

1. Petition Under 37 CFR § 1.47(a)
2. Declaration and Power of Attorney (which is in compliance with 37 CFR 1.63)
3. Affidavit, including a copy of:
  - a. Transmittal letter dated February 8, 2001
  - b. Patent Assignment (signed by Mr. McCarthy and Mr. Ingram)
  - c. State of Delaware Certificate of Merger (TruMarkets, Inc. into TruMarkets, LLC)
  - d. E-mail dated March 16, 2001 (from David Lestz to Gregory Discher)
  - e. Hale and Dorr letter dated September 19, 2001 sent to Mr. Ingram via Certified mail
  - f. Declaration and Power of Attorney (enclosed with September 19, 2001 letter)
  - g. U.S. Post Office return receipt (for September 19, 2001 letter)

RECEIVED

DEC 19 2001

OFFICE OF PETITIONS

h. Hale and Dorr letter dated October 4, 2001 sent to Mr. Ingram via Federal Express

i. Declaration and Power of Attorney (enclosed with October 4, 2001 letter)

j. Federal Express return receipt (E-mail dated October 5, 2001)

4. Petition for Extension of Time (5 months)
5. Assignment and Recordation Form Cover Sheet from Mr. McCarthy and Mr. Ingram to TruMarkets, Inc.
6. Assignment and Recordation Form Cover Sheet from TruMarkets Inc. to TruMarkets, LLC
7. Certified Copy of Certificate of Merger and Recordation Form Cover Sheet
8. 24 Sheets Formal Drawings and Transmittal

Please charge Deposit Account No. 08-0219 in the amount of \$4612.00 (including statutory basic filing fee of \$710.00, extra claim fees of \$1602.00, Petition Under 37 CFR § 1.47 fee of \$130.00, Petition for Extension of Time fee of \$1960.00, Assignment Recordation fee of \$40.00, Certificate of Merger Recordation fee of \$40.00, and late filing fee surcharge of \$130.00). To the extent necessary, Applicants petition for an extension of time under 37 C.F.R. 1.136. Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 08-0219 and please credit any excess fees to such deposit account.

[X] The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 08-0219. A duplicate copy is enclosed.

[X] Any additional filing fees required under 37 CFR 1.16.

[X] The Commissioner is hereby authorized to charge payment of following fees during the pendency of this application or credit any overpayment to Deposit Account No. 08-0219.

[X] Any patent application processing fees under 37 CFR 1.17.

[X] Any filing fees under 37 CFR 1.16 for presentation of extra claims.

It is requested that the official filing receipt now be issued.

Respectfully submitted,

HALE AND DORR LLP



Gregory S. Discher

Registration No. 42,488

The Willard Office Building  
1455 Pennsylvania Avenue, NW  
Washington, DC 20004  
202 942 8437 GSD:lrr  
Date: 12/17/01  
202 942 8484 facsimile

Docket No.: 111472.120US1



PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

Peter J. McCARTHY et al.

Serial No. 09/809,429

Group Art Unit: 2161

Filed: March 16, 2001

Examiner:

For: SYSTEM, METHOD AND MEDIUM FOR TRADING FIXED INCOME SECURITIES

TRANSMITTAL OF FORMAL DRAWINGS

Honorable Commissioner for Patents  
Washington, D.C. 20231

Sir:

At the time the above application was filed, informal drawings were presented with the application. The formal drawings are submitted herewith.

Respectfully submitted,

HALE AND DORR LLP

Gregory S. Discher  
Registration No. 42,488

**RECEIVED**

DEC 19 2001

OFFICE OF PETITIONS

1455 Pennsylvania Avenue, N.W.  
Washington, D.C. 20004  
Telephone: 202 942 8437  
Facsimile: 202 942 8484  
Date: 12/17/01



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/809,429	03/16/2001	Peter J. McCarthy	111472.120US1

CONFIRMATION NO. 4917

## FORMALITIES LETTER



\*OC000000006087887\*

Hale and Dorr LLP  
The Willard Office Building  
1455 Pennsylvania Ave, NW  
Washington, DC 20004



Date Mailed: 05/17/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION RECEIVED

FILED UNDER 37 CFR 1.53(b)

DEC 1 9 2001

Filing Date Granted

OFFICE OF PETITIONS

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1602.
  - \$882 for 49 total claims over 20.
  - \$720 for 9 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2442.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

09/809,429  
03/16/2001  
PETER J. MCCARTHY  
111472.120US1  
DEC 17 2001  
OFFICE OF PETITIONS

---

*A copy of this notice MUST be returned with the reply.*

H-T

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

U.S. PATENT & TRADEMARK OFFICE